

Supplemental No: 02821.P004X

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of:

Scott, et al.

Application No.: 09/955,394

Filed: September 18, 2001

For: Enhancing Utility and Diversifying
Model Risk in a Portfolio
Optimization Framework

Examiner: Not yet assigned

Art Unit: 2161

RESPONSE TO NOTICE TO FILE
MISSING PARTS OF NONPROVISIONAL APPLICATION
(FILING DATE GRANTED)

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing parts of Application (Filing Date Granted) mailed October 26, 2001, please find enclosed:


- (1) a duly executed Declaration and Power of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$130.00 in payment of the surcharge of 37 C.F.R. §1.16(l);
- (3) a check in the amount of \$920.00 as payment for a three-month extension of time to respond to the Notice to File Missing Parts of Nonprovisional Application;
- (4) a copy of the Notice to File Missing Parts of Nonprovisional Application;

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 3/26/02


Mark C. Van Ness
Reg. No. 39,865

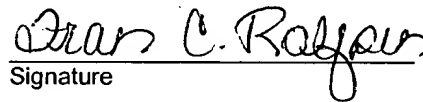
12400 Wilshire Boulevard
Seventh Floor
Los Angeles, CA 90025-1030
(303) 740-1980

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

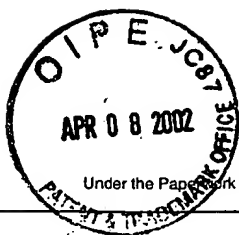
Date of Deposit: March 26, 2002

Name of Person Mailing Correspondence: Fran C. Rolfsen


Signature

3-26-02
Date

BEST AVAILABLE COPY



PTO/SB/17(09-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL FOR FY 2002**TOTAL AMOUNT OF PAYMENT (\$)** \$ 1,050.00

Complete if Known:

Application No. 09/955,394
Filing Date September 18, 2001
First Named Inventor Jason S. Scott, et al.
Group Art Unit 2161
Examiner Name Not yet assigned
Attorney Docket No. 02821.P004X

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
Deposit Account Name _____

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:
☒ Check
_____ Money Order
_____ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	740	201	370	Utility application filing fee	_____
106	330	206	165	Design application filing fee	_____
107	510	207	255	Plant filing fee	_____
108	740	208	370	Reissue filing fee	_____
114	160	214	80	Provisional application filing fee	_____

SUBTOTAL (1) \$ _____**2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims _____	- 20** = _____	X _____	= _____
Independent Claims _____	- 3** = _____	X _____	= _____
Multiple Dependent _____		_____	= _____

****Or number previously paid, if greater; For Reissues, see below.**

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ _____

FEE CALCULATION (c ntinued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fe (\$)	F Code	Fe (\$)		
105	130	205	65	Surcharge - late filing fee or oath	\$ 130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex-parte reexamination	
099	8,800	099	8,800	Request for inter partes reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	400	216	200	Extension for response within second month	
117	920	217	460	Extension for response within third month	\$ 920.00
118	1,440	218	720	Extension for response within fourth month	
128	1,960	228	980	Extension for response within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application or unavoidably delayed payment of issue fee	
141	1,280	241	640	Petition to revive unintentionally abandoned application or unintentionally delayed payment of issue fee	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					
Other fee (specify) _____					

SUBTOTAL (3) \$ 1,050.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Mark C. Van Ness

Signatur :  Date: 3/26/02

Reg. Number: 39,865 Telephone Number: 303-740-1980



Patent Docket No: 02821.P004X

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Application of:

Scott, et al.

Application No.: 09/955,394

Filed: September 18, 2001

For: Enhancing Utility and Diversifying
Model Risk in a Portfolio
Optimization Framework

Examiner: Not yet assigned

Art Unit: 2161

U.S. Patent and Trademark Office
Application Processing Division
Customer Correction Branch
Washington, D.C. 20231

REQUEST FOR CORRECTION OF FILING RECEIPT

Dear Sir:

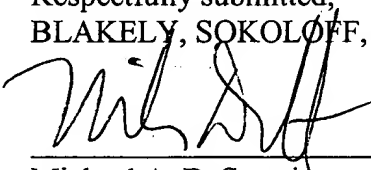
In review of the Filing Receipt for the above-referenced patent application, the following error was found. Please correct the Filing Date for this application as follows:

Replace "09/18/2001" with --09/17/2001--

Enclosed for your reference is a copy of the official Filing Receipt form with the change noted thereon, a copy of the United States Postal Service Express Mail Post Office to Addressee form indicating the patent application was deposited for mailing on 9/17/01 at 4:45 p.m., and a copy of the returned post card from the U.S. Patent and Trademark Office indicating the Date Mailed was 9-17-01. Please make the appropriate corrections to your records, and forward a corrected filing receipt to the undersigned.

Respectfully submitted,
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 3/28/02


Michael A. DeSanctis
Reg. No. 39,957

12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025-1026
(303) 740-1980

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FIRST CLASS CERTIFICATE OF MAILING

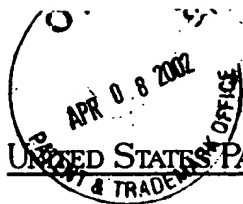
I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: March 28, 2002

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen
Signature

3-28-02
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
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09/955,394 ~~09/18/2001~~ 2161 1408 02821.P004X 10 41 7

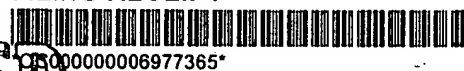
09/17/2001

CONFIRMATION NO. 1548

FILING RECEIPT

Michael A. DeSanctis
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Seventh Floor
12400 Wilshire Boulevard
Los Angeles, CA 90025-1026

RECEIVED
OCT 30 2001



BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
LOS ANGELES

Date Mailed: 10/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jason S. Scott, Menlo Park, CA;
Christopher L. Jones, Redwood Shores, CA;
James W. Shearer, Residence Not Provided;
John G. Watson, Menlo Park, CA;

ENTERED
OCT 30 2001

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/151,715 09/11/1998 PAT 6,252,787

STATUS DB-LA

Foreign Applications

If Required, Foreign Filing License Granted 10/25/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Enhancing utility and diversifying model risk in a portfolio optimization framework

Preliminary Class

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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP
10/26/2001

RECEIVED
OCT 30 2001

705

LICENSE FOR FOREIGN FILING UNDER
Titl 35, United States Code, S ction 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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SEP 28 2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
LOS ANGELES

2004
a11/10

Serial/Patent No.: Unassigned Filing/Issue Date: Concurrently
Client: Financial Engines, Inc.
Title: Enhancing Utility and Diversifying Model Risk in a Portfolio Optimization Framework
BSTZ File No.: 02821.P004X Atty/Secty Initials: MAD/fr
Date Mailed: 9-17-01 Docket Due Date: _____

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | | |
|--|--|---|
| <input type="checkbox"/> Amendment/Response (____ pgs.) | <input checked="" type="checkbox"/> Express Mail No. <u>EL886506955US</u> | <input checked="" type="checkbox"/> Check No. <u>1889</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate) | <input type="checkbox"/> _____ Month(s) Extension of Time | Amt. <u>\$1,408.00</u> |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO-149 (____ pgs.) | <input type="checkbox"/> Check No. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.) | <input type="checkbox"/> Issue Fee Transmittal | Amt: _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.) | <input type="checkbox"/> Notice of Appeal | |
| <input checked="" type="checkbox"/> Application - Rule 1.53(b) CIP <u>49</u> pgs.) | <input type="checkbox"/> Petition for Extension of Time | |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.) | <input type="checkbox"/> Petition for _____ | |
| <input type="checkbox"/> Application - Design (____ pgs.) | <input checked="" type="checkbox"/> Postcard | |
| <input type="checkbox"/> Application - PCT (____ pgs.) | <input type="checkbox"/> Power of Attorney (____ pgs.) | |
| <input type="checkbox"/> Application - Provisional (____ pgs.) | <input type="checkbox"/> Preliminary Amendment (____ pgs.) | |
| <input type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (____ pgs.) | |
| <input checked="" type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts | |
| <input type="checkbox"/> Declaration & POA (____ pgs.) | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business | |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate | |
| <input checked="" type="checkbox"/> Drawings: <u>10</u> # of sheets includes <u>12</u> figures | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate | |

☐ Other: _____

09/955394
09/17/01

jc971 U.S. PTO
09/955394
09/18/01

Due date 12/18/2001 Client Name Financial Engines, Inc.

Docket Initial [Signature] 2821.P004x
Docket Sup. Initial [Signature] JHS TMC MAD
Atty/Initial _____
Pat/Ser/Reg 955,394

Description

3 month deadline to file prior art disclosure and check related cases based on filed US application).

Due date 3/18/2002 Client Name Financial Engines, Inc.

Docket Initial [Signature] 2821.P004x
Docket Sup. Initial [Signature] JHS TMC MAD
Atty/Initial _____
Pat/Ser/Reg 955,394

Description

F letter (based on CIP filing date)

Due date 1/18/2002 Client Name Financial Engines, Inc.

Docket Initial [Signature] 2821.P004x
Docket Sup. Initial [Signature] JHS TMC MAD
Atty/Initial _____
Pat/Ser/Reg 955,394

Description

Deadline within in which to amend to reflect the claim of priority

Due date 6/18/2002 Client Name Financial Engines, Inc.

Docket Initial [Signature] 2821.P004x
Docket Sup. Initial [Signature] JHS TMC MAD
Atty/Initial _____
Pat/Ser/Reg 955,394

Description

3 months remaining to F/F (based on CIP filing date)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/955,394	09/18/2001	Jason S. Scott	02821.P004X

CONFIRMATION NO. 1548

FORMALITIES LETTER



OC00000006977366

Michael A. DeSanctis
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Seventh Floor
12400 Wilshire Boulevard
Los Angeles, CA 90025-1026



Date Mailed: 10/26/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/09/2002 00000001 00000001 0505354

G1 FC:105

130.00 07